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ABSTRACT

Needs and methods for the evaluation and development of higher education administrators are reviewed in this monograph. Three major reasons for evaluation are cited: external and internal pressure, improvement of performance of individual administrators, and improvement of performance of the institution. Different approaches to evaluation are reviewed and advantages and disadvantages of each process are discussed. Information evaluation, rating scales, structured documentation (portfolios), and management by objectives are included in this examination. It is suggested that the various evaluation approaches are not mutually exclusive, and some institutions may use procedures that draw on a mixture of evaluation methods, as suit their curcumstances. Procedures for successful implementation, deciding who should provide evaluative data, and when to evaluate are discussed, as well as confidentiality and evaluating the evaluation process. Administrative development programs are examined and it is suggested that features of development programs in business can be applied to higher education. Important features of a development program include: (1) relationship of development to daily work; (2) tailoring the program to the institution and person; and (3) encouragement of participation in the program. Problems specific to the evaluation of college presidents are also discussed. It is suggested that the evaluation and development of both college presidents and administrators complements the proper management of the institution and that any development program should be responsive to the changing needs of the school. A 100-item bibliography is included. (SF)

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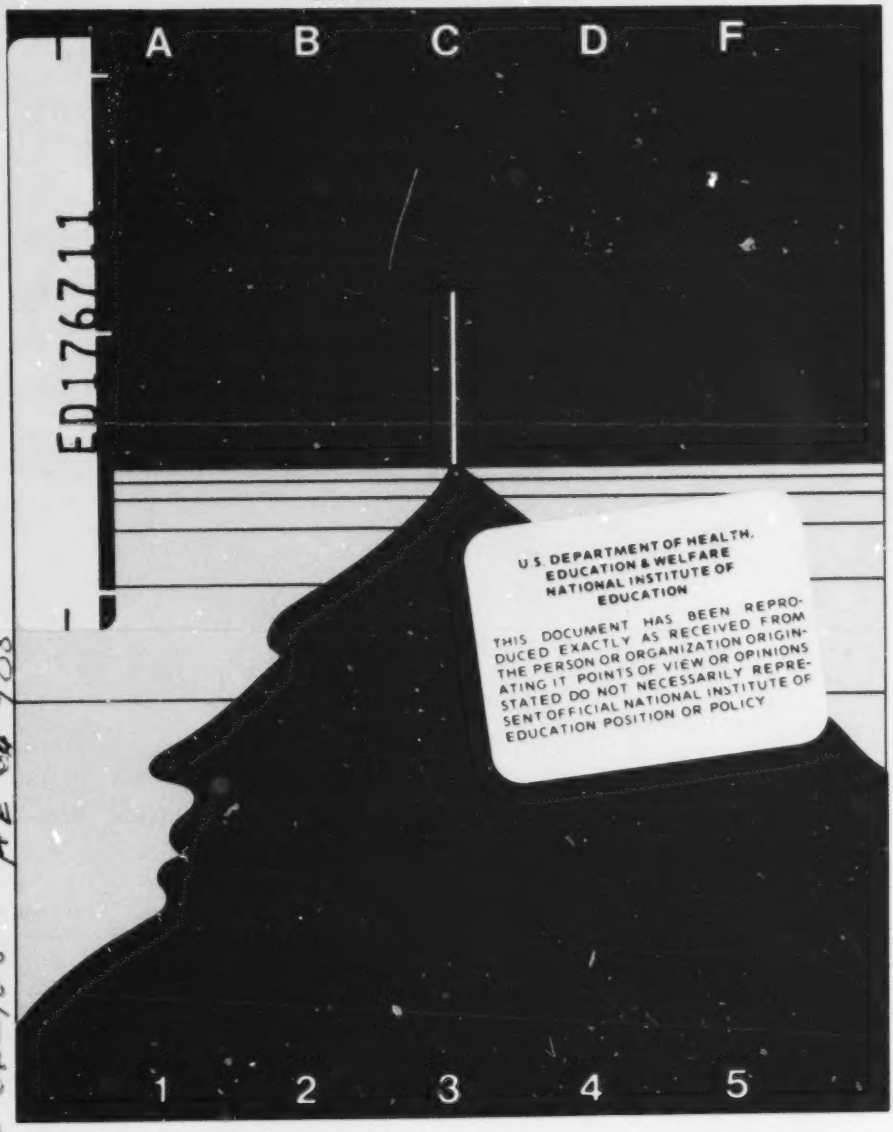
REPORT

Evaluation and Development of Administrators

Robert C. Nordvall



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Foreword

The issue of evaluation and development of higher education administrators has been addressed in two previous papers prepared by the Clearinghouse: first in a review by Charles F. Fisher in the March and June 1977 issues of *Research Currents* and again by Robert A. Scott in his Research Report No. 7 (1978) entitled, *Lords, Squires, and Yeomen: Collegiate Middle Managers and Their Organizations.*

We turn to this area a third time because of its importance to improving the effectiveness of management talents during a time when increasing demands are being exerted on college and university administrators. As pointed out in the monograph, there are three motivating factors behind evaluation and development of administrators. First are the external and internal demands for accountability. Evaluation of administrators can focus on quality of performance and thereby satisfy the need to measure how successful an administrator has been. Second is the need to improve the performance of administrators. Evaluation can identify the weakness and development can establish a plan to deal with them. And third, there is a need to improve organizational functioning that goes beyond the improvement of individual performance. Looking at the evaluation and development process as a whole, weaknesses in the overall organizational structure can be identified to make institution-wide corrections.

Robert C. Nordvall, with a J.D. from Harvard Law School and a doctorate in higher education from Indiana University, is the Assistant Dean of the College at Gettysburg College and has been responsible for coordinating a project for evaluating the college's administrative operation. With this background, he brings both a scholarly as well as a practitioner's insight to bear on this topic. This Research Report, along with the two previous AAHE publications, provide a comprehensive background on which institutions can base their evaluation and development programs.

Jonathan D. Fife, Director
ERIC Clearinghouse on Higher Education

Contents

Overview 1

Why Administrative Evaluation and Development 4
Reasons for Evaluation 4
Difficulties with Evaluation in Higher Education 6
Frequency of Formal Evaluation Systems 7
Reasons for Development 8
Organizational Development 9
Summary 10

Types of Evaluation Programs 11
The Spectrum of Evaluation Processes 11
Informal Evaluation 13
Dimensions of Rating Scales 14
Criticisms of Rating Scales 16
Structured Documentation (Portfolios) 18
Description of Management by Objectives 18
Mixed Systems of Evaluation 21

Selecting and Implementing an Evaluation Program 23
Desirable Features of an Evaluation Program 24
Procedures for Successful Implementation 25
Who Provides Evaluative Data 25
When To Evaluate 27
Evaluation and Compensation 28
Confidentiality, Disclosure, and Right of Appeal 29
Evaluating the Evaluation Program 29

Administrative Development Programs 31
Management Development in Business and Education 31
Desirable Features of a Development Program 33
What Does a Development Program Improve? 35
Role Definition and Growth Contracts 35
Who Is Involved in a Development Program? 37
Suggestions for Implementation of Development Programs 38
Location of Development Activities 38
Administrative Development and Organizational Development 40
Evaluation of Development Programs 40

Evaluation and Development of College Presidents 41
Presidential Roles 41
Criteria for Evaluating Presidents 43
Methods of Presidential Evaluation 44
When Evaluation Takes Place 45
Evaluation of the Office of the President 47
Development of College Presidents 47

Summary, Conclusions, and Implications 49

Bibliography 51

The past fifteen years have seen an increased emphasis on the evaluation of faculty, especially by students, in higher education. This has been followed by heightened interest in more formal programs of evaluating administrators. Just as the evaluation of faculty inevitably led to a greater concern for faculty development, or seen abetted by the end of a period of expansion of the number of faculty, so also administrative evaluation has spawned an interest in programs to improve administrative performance through professional and personal development.

Two issues in evaluation that often receive separate treatment are not specifically discussed in this report. The first is the evaluation of administrative operations rather than individual performance (although the two are clearly related). Griffin and Bunn's *Appraising Administrative Operations: A Guide for Universities and Colleges* is a good source for an institution interested in appraising the operation of administrative units. The second issue is the evaluation and development of department chairpersons. The mixture of faculty and administrative tasks in the chairperson's job varies by institution. The court cases concerning whether chairpersons are part of management for collective bargaining purposes illustrate the uniqueness of the chairperson's role. Much of what this report discusses could be applied to chairpersons, but the special problems of their evaluation and development are not included.

Underlying the growth of evaluation plans for faculty and administrators has been the call for greater accountability by higher education institutions. The contention that administrative evaluation and development yields better management of the institution is empirically difficult to substantiate although more research in this area may buttress this claim. The empirical link between evaluation, development, and increased student learning may be impossible to show. Nevertheless, even though new evaluation and development procedures don't insure improved administrative performance, they show an attempt to improve such performance, which is a useful response to demands for accountability.

The enthusiasm for new programs of evaluation is not universal. Those who are dubious about evaluation systems in higher education usually cite the ambiguous goals of colleges and universities and the

uncertain alterations of power among the constituencies of the institution. Arguments in favor of evaluation try to counter these objections, but the strong emphasis on problems of implementation for evaluation systems indicates that the higher education environment causes special impediments for evaluation plans.

Development of administrators raises fewer objections; it is difficult to complain about plans to help people do their job better. Yet development programs are not totally innocent in their implications. If the development gives administrators new perspectives towards which the institutional environment is not receptive, the development of individuals may require changes in the total organization (organizational development) to be effective.

Rating scales are probably the most common of the formal evaluation programs. Their use of administrators must be buttressed against the criticisms of their accuracy. A major alternative is the management-by-objectives approach, whereby administrators are judged according to performance objectives established in consultation with their supervisor. Such a system is not easy to implement. Alternatives to rating scales and management by objectives, such as structured documentation through portfolios, are being proposed. The various evaluation approaches are not mutually exclusive, and some institutions use procedures that draw on various evaluation methods.

Suggestions for choosing and implementing evaluation systems concentrate on knowledge of the particular circumstances of the college or university and on broad participation of those who will be evaluated. The issue of who provides evaluative data requires balancing the twin goals of comprehensiveness and ease of administration. The issue of the proper relationship of evaluation to personnel decisions such as those of salary and promotions has not been resolved.

In evaluation as well as in development programs higher education institutions look to business for models that might be adapted to the campus atmosphere. The extent to which these models can be transferred to education is questionable; yet many of the desirable features for development programs in business are considered desirable in education. Growth contracts are an increasingly popular development format in higher education. Regardless of the format, development activities can take place in a variety of settings and can concentrate on job abilities only or extend to the enhancement of the personal life of the administrator.

Evaluations of college presidents include dimensions that either reinforce or exemplify more intensely the problems of evaluating

other administrators. The literature on the role of the president is more extensive than that for other administrators, and from this literature attempts have been made to extract proper criteria for presidential evaluation. The methods for evaluating presidents are often more complex, the involvement of various constituencies in presidential evaluation is more widespread, the interest in public disclosure of the results of evaluation is more intense. Surprisingly, however, the concern for the development of college presidents does not mirror this extensive interest in their evaluation.

Ultimately questions of evaluation and development of administrators should be seen within a broader context of the proper management of the college or university. Once larger questions of management style are decided, an evaluation and development program can be instituted. In doing this, models from other universities or from business are helpful, but must be modified to meet the institution's needs. A new system probably cannot be successfully implemented if there is no broad desire within the institution to change the current procedures. Even if this desire is evident, the expectations for the new system should be modest and any plan that is adopted should be subjected to constant review.

Reasons for Evaluation

Informal evaluation is inevitable in any organization that must make decisions about hiring, promotion, salary raises, and terminations. The growing interest in the evaluation of college administrators over the last decade has involved formal evaluation programs with established criteria and methods that attempt to make an accurate assessment of administrative performance. Although it is possible to have an evaluation system that is not integrated with a system of improving administrative competencies, many of the reasons presented for instituting an organized evaluation system necessitate a parallel program of administrative development.

The reasons for systematically evaluating college administrators can be divided into three categories. The first is that of pressure and demands for evaluation from external and internal sources. Evaluations can be undertaken to manage these pressures and meet these demands even if no additional benefits are envisioned. The second category includes reasons related to the improvement of the performances of individual administrators. The third category of reasons concerns improved organizational functioning that goes beyond the sum of the improvements in individual performance.

Reasons for evaluation can be assigned to these categories as follows:

(1) Pressure and demands from external and internal sources:

- External demands for accountability from government, trustees, alumni, and the public (Kishel 1977a, p. 8)
- Need to enlighten internal and external audiences about institutions' worth (Kishel 1977a, p. 8)
- Faculty contention that an active evaluation of faculty should be matched by faculty evaluation of administrators (Cousins and Rogus 1977, p. 92)
- Administrators' demand that they have a right to a performance evaluation (National Association of Student Personnel Administrators 1976, p. 47)
- Increased concern for job security in an unsettled labor market that has as a corollary a system of evaluation (Clifford 1976, p. 2)
- As part of collective bargaining contract negotiations (Sorcinelli and Sheywood 1978, p. 8)

- Growing interest in the implications of successful business practices for higher education (Bergquist and Tenbrink 1978, p. 1493)
- Need to protect personnel decisions from successful legal challenge under antidiscrimination and other laws (Cousins and Rogus 1977, p. 92)
- Impact of new legislation limiting mandatory retirement on need for evaluation (Scott 1978, p. 28).

(2) Improvement of performance of individual administrators—

- Through assessment of strengths and weaknesses to indicate needed areas of professional and personal development (Fisher 1977a, p. 4)
- Through helping administrators to plan future career decisions (Surwill and Heywood 1976, p. 4)
- Through awareness of perceptions of persons with whom administrator works about his or her performance (Bergquist and Tenbrink 1978, p. 1494)
- Through improved definition of administrator's role (Bergquist and Tenbrink 1978, p. 1494)
- Through definition of individual objectives that are consistent with institutional goals (Fisher 1977a, p. 4).

(3) Improvement of performance of the institution—

- Through improved internal communication, teamwork, and management (Fisher 1977a, p. 4)
- Through validation of selection, retention, salary, and promotion processes (Fisher 1977a, p. 4)
- Through an inventory of personnel resources for training or reassignment (Fisher 1977a, p. 4)
- Through the attraction and retention of good administrators (Hayes 1976a, p. 6)
- Through extension of participation in decisionmaking by permitting staff input in personnel process (Farmer 1979e, p. 11)
- Through provision of information on the congruence between institutional policy and administrative actions (Farmer 1979e, p. 11)
- Through provision of data for research projects on factors influencing administrative effectiveness (Bergquist and Tenbrink 1978, p. 1493).

One benefit that is not claimed for administrative evaluation is improved student learning in the classroom. There is no empirical verification that improved administrative performance enhances student learning (Thomas et al. 1977, p. 16). It is usually assumed, nevertheless, that more effective administrative performance will improve

the total operation of the institution and thus help the college or university meet its educational goals.

The growing interest in the implications of business practices is related to demands for accountability in two ways. First, the issue is raised whether higher education can justify avoiding such demands when institutions, such as business and industry, are held publicly accountable in some measure for their results. Second, in response to the claim that desired results are difficult to insure or measure in higher education, business practices are cited as models that higher education can follow to provide better management based on the assumption that the desired educational outcomes will more likely be achieved.

Thus two questions are pertinent: How do business practices work in their usual setting? and Will these practices, or indeed any method, work for measuring administrative performance in higher education? Although formal programs of performance appraisal are common in business, the companies that use them are often critical of them for various reasons (Anderson 1978). The process is seen as too subjective and too cumbersome. The results are not satisfactory. When these results have been challenged in court, companies have often not been able to prove that the appraisal system does not illegally discriminate. The more elaborate the system becomes to overcome possible shortcomings, especially those of subjectivity, the more time consuming it is. Executives begin to ask if the results justify the effort. One consultant even recommends that companies abandon complicated systems that comprehensively assess all workers and concentrate instead on identifying those few employees whose work is exceptional (p. 36).

Despite these criticisms, business firms are wedded to the concept of performance appraisals, and much of their effort involves finding the system that works. Businesses do not accept the contention that meaningful evaluation of performance is impossible. In higher education, on the other hand, some argue that no evaluation system can work.

Difficulties With Evaluation in Higher Education

Farmer (1979e) discusses three basic arguments against undertaking administrator evaluation. First, the diversity of programs, leadership roles, and opinions about evaluation among those participating in the process all combine to make any system of evaluation unworkable. Second, there are no proven techniques available that are satisfactory for administrator evaluation in higher education. Third, evaluation will inevitably be a political process where subjectivity overwhelms

accuracy. Farmer believes that adequate counter-arguments exist for these objections to evaluation. Diversity can be accommodated by flexibility in the evaluation process; there have been evaluative techniques used effectively in higher education; and evaluative schemes can build in safeguards against excessive subjectivity.

Even though convincing counter-arguments can be presented to the claims that administrator evaluation should not even be undertaken, these claims reflect serious problems that will face any assessment effort. Dressel lists four major problems: (1) the definition of administration in terms of the related concepts of management and leadership; (2) the determination of the power that an administrator has (in light of the great variances in legal and hierarchical frameworks of higher education institutions) so that the evaluation properly relates to the administrator's functions and the authority he or she is delegated to fulfill them; (3) the lack of generally accepted clear criteria for determining successful administration; and (4) the fact that in dealing with multiple constituencies administrators often purposely communicate in ambiguous ways (1976, pp. 376-82).

The idea that evaluation must take into account the widely varying characteristics of institutions of higher education is often stressed in analyses of evaluation of college presidents. The multiple ways of describing a president's role are enumerated. Anderson summarizes seven sources of description of the president's role including those of Cohen and March (who themselves set out eight metaphors of presidential style: competitive market, administration, collective bargaining, democracy, consensus, anarchy, independent judiciary, and plebiscitary autocracy), Bolman, Dodds, Kauffman Kerr, Stoke, and Wriston (Anderson 1975, pp. 51-62). Although such role diversity is accentuated at the presidential level, there are similar differences among the roles of other administrators holding the same title at different institutions.

The emphasis on the problems of diversity for an evaluation process highlights the underlying theme of those who stress the difficulties of evaluation in higher education: education is not only different from other fields, so that procedures from these fields cannot be superimposed onto education, but also higher education, by the very nature of the way it should be organized to achieve its goals, will be peculiarly resistent to formal evaluation methods.

Frequency of Formal Evaluation Systems

Despite these difficulties with evaluating administrators, programs

of evaluation are growing in number. On the basis of a survey of the membership of the American Association of State Colleges and Universities, Surwill and Heywood projected that by 1977, 45 percent of these institutions would have systematic evaluation procedures for administrators (1976, p. 4). Formal evaluation procedures were most common for presidents and academic deans. Except for presidents, informal evaluation procedures were still far more common than formal ones (p. 3). Although these projections show the majority of institutions have no formal evaluation system, they do indicate a strong growth in such systems from the early 1970's. Miller (1974) put a notice in the *Chronicle of Higher Education* requesting information about such programs and received few replies. Today the *Chronicle* carries advertisements for programs about evaluation techniques, including administrative evaluation.

Reasons for Development

Programs of development of administrators are less threatening than evaluation programs and thus raise less resistance. Since higher education has desired outcomes that are difficult to quantify and has ambiguous structures of power and authority, the lag of colleges and universities in instituting evaluation programs is understandable. Less understandable is the fact that organizations that are dedicated to the training and development of students have been so slow to train and develop their own administrators (Sprunger and Bergquist 1978, p. 247).

Just as evaluation and development ought to be seen as related parts of a single process, so also the reasons given for instituting a development program overlap those set out as a rationale for administrative evaluation (e.g., implications of successful programs in business and the need for greater accountability by management). There are, nevertheless, some reasons that receive more emphasis as a basis for development than for evaluation. These include: (1) the need to avoid rigidity and personal obsolescence in a steady-state situation with declining mobility (Bare 1977, p. 1; Fisher 1977b, p. 3); (2) the necessity for change and vitality in higher education if it is to survive (Bare 1977, p. 1; Fisher 1977b, p. 3); (3) the increasing emphasis on self-actualization as a goal for employees in today's society (Bare 1977, p. 1); (4) the demands of women to learn administrative roles (Bare 1977, p. 1); (5) the growing understanding of the stages of adult development (Berte and O'Neill 1979, p. 60); (6) the lack of continuous career ladders for many academic administrative fields (Knapp

1969, p. 58); (7) the growth and impact of faculty development programs (Fisher 1977b, p. 3); (8) the "Contribution of professional development programs to the body of knowledge about administrative theory and practice" (Fisher 1977b, p. 3); and (9) the sense of renewal that development can provide in meeting daily administrative pressures (Fisher 1977b, p. 3).

Organizational Development

Evaluation programs lead inevitably to individual development programs, since the goal of better management is not satisfied by merely noting areas of needed improvement. The improvements must be sought. In a similar fashion, programs of individual development may not yield a better performance if the administrator is not able to apply the knowledge he or she has gained because the organization is not receptive to change and improvement. Thus, some writers believe that organizational development is a necessary result of individual development programs (Boyer and Grasha 1978; Fisher 1977b, p. 4; French 1969; and Richardson 1975). Organizational development is a long-term process of improving an organization's problem-solving capacities by using techniques based upon behavioral-science research to accomplish goals, such as increased trust among employees, more open communication, enhanced leadership effectiveness, open confrontation about problems, and better group effectiveness in solving problems (Boyer and Grasha 1978, p. 21; French 1969, pp. 23-24). Organizational development often involves behavioral-science consultants or change agents. Techniques used include human relations laboratories with T-Group sessions, role playing, and management games. These techniques go beyond enhancing individual competencies. Team-building sessions are held to change the atmosphere of work groups (French 1969). T-Group training became popular during the 1960's, but its value in enhancing managerial effectiveness was never empirically established (Rice 1979, p. 70). Organizational development proceeds partly on the assumption that the link between such training and managerial effectiveness has not been established because the environment to which the manager returns after training is not hospitable to the use of his or her new skills. Organizational development tries to make the environment hospitable.

Whereas the idea of the development of individual administrators has few critics, moving beyond individual development to organizational development requires a commitment to change that may well be unsettling. Resistance to such change should be expected.

Summary

Many reasons are offered for the institution of administrative evaluation programs. Arguments against these programs are raised, as ought to be expected, since evaluation is a threatening process. Those writing about administrator evaluation counter the arguments against evaluation and come to the conclusion that it is both necessary and desirable. Administrative development appears less threatening and has few critics. Yet, if the development of individual administrators leads to broader strategies of organizational development, then administrative development is more threatening to the *status quo* than evaluation because it seeks to change the atmosphere of the total organization. Evaluation, however, if conducted effectively, should lead to an administrative development program.

Types of Evaluation Programs

This chapter will review the approaches to evaluation, the criteria they embody, and their advantages and disadvantges for meeting goals of an evaluation process.

The Spectrum of Evaluation Processes

Sprunger and Bergquist (1978, pp. 249-257) identify six approaches to administrator evaluation. The first, *unstructured narration*, might not even be considered as a formal evaluation method. The evaluator simply prepares a report that summarizes the activities, achievements, and level of performance of the administrator. The second approach, *unstructured documentation*, also falls short of what constitutes a formal program. In it, the administrator usually documents the amount and quality of his or her work by producing items such as an inventory of activities, evaluations by participants in programs for which the administrator is responsible, or unstructured letters of appraisal from persons with whom the administrator works.

Structured narration, the third approach, relies on answers to questions about specific qualities or activities of the person being evaluated. Examples of these questions include: "In what areas of this person's job is improvement clearly needed?"; "Describe the professional practices of this administrator in terms of initiative and vitality"; and "To what extent has this administrator accomplished the following objectives . . .?" (p. 249).

Even more structured is the fourth approach, *rating scales*, which assess the administrator's activities or qualities on a scale that might run from poor to excellent in describing a trait or from never to always in describing how often an administrator acts in a certain way. In addition to rating scales of individual performance, there are scales that assess the institution's environmental characteristics. Using these to evaluate an administrator requires an assumption that he or she can affect the environment in a measurable way.

The fifth approach, *structured documentation* (portfolio) is most common in the performing and creative arts. The supervisor and administrator agree on the categories in which evaluation will be made and the administrator is responsible for documenting successful performance in these areas. This fifth approach is analogous to the sixth one, *management by objectives*, where the supervisor and administra-

tor agree on the goals by which the administrator will be judged and meet periodically to assess the attainment of these to establish reasons why they were not reached and to set new goals.

These six approaches are not mutually exclusive. They cover the most common approaches, but others have been suggested. Yet these other approaches are not approaches to the method of assessment of past performance. The assessment center appraisal technique is used to assess potential for a new position rather than performance in a current job. In it an individual is asked to spend two or three days working either individually or in groups on the types of assignments the position requires. The individual's performance is assessed by observers leading to a ranking in terms of suitability for the position (Lahti 1975, p. 9). The critical incident technique requires a record of specific behaviors by those in the best position to observe the employee in order to formulate the critical activities of his or her position (Oaklief 1976, p. 7; Lahti 1975, p. 9). It is a way of establishing proper criteria for evaluation rather than a method of assessing these. Wallenfeld proposes the general systems theory approach as a framework for judging the actions and decisions of the chief student affairs officer, but the result of the application of general systems theory is not an evaluation method but a list of appropriate strategies that provide criteria for judgment. Examples of these strategies that an administrator should follow include delaying "all irrevocable commitments of resources and/or action until the decision horizon has been approached as closely as possible" and abandoning "organizational structures predicated on bureaucratic principles in favor of adhocratic [*sic.*], plastic, and more versatile structures" (1976, p. 10). His discussion of normative generalizations of the community in which the administrator operates also does not provide a method of evaluation; instead it presents philosophical questions to be addressed in the evaluation process. These philosophical questions judge the administrator in terms of concern for ideals, such as "dignity and worth of the individual," "environment of freedom and justice," "belief in the potential of human individuals," recognition and promotion of tolerance, the right of dissent, and "openness of mind" (p. 11).

These other approaches illustrate that in establishing a list of methods of evaluation, the organizing principle need not be the method of making an assessment. The list can, for example, present different ideas about who is doing the evaluation or different ideas about the criteria that are evaluated (Nordvall 1977, pp. 54-56). The discussion below will concentrate on the advantages and disadvantages of the six approaches established by Sprunger and Bergquist and

include problems of proper criteria. Then the question of who should be involved in the evaluation will be treated. Although the issues of approaches, criteria, and identification of evaluators will often be analyzed separately, these issues are often interrelated. Certain approaches are, however, more compatible with certain criteria or with input from certain types of evaluators.

Informal Evaluation

Evaluation always takes place. People have opinions about the quality of the work of others, and these are expressed. Organizations must make decisions about hiring, retention, promotion, and salary. Where there is no formal evaluation system, the informal evaluation provides at least part of the basis for these decisions. So the question is not whether evaluation will take place but rather how it will take place.

Persons who study and propose systems of evaluation quite naturally want to go beyond the informal system to something better; someone who is satisfied with the informal system will not be motivated to study alternatives. Disenchantment with the informal system is not, however, universal. Some believe that education is a naturally inefficient process, and the attempt to apply more efficient management techniques to it leads to stupid results. This is because those who espouse these techniques are more interested in efficiency and the perquisites of power than they are in the real work of the institution —acquiring and disseminating knowledge—which is carried on by the faculty and students (Galligan 1977).

Those with less cynical views of more efficient management procedures in higher education might still question the desirability of more formal evaluation programs. An institution that is reasonably satisfied with its administrative operation should question whether a more complicated evaluation program, which is not instituted because of deficiencies acknowledged in the current program, will have the necessary support of the participants in it to be successful. It is more likely to upset the participants without beneficial results. The institution may be unduly generous in its estimate of the success of its administrative process, but unless dissatisfaction with the process arises from within, there is probably not a sound basis for a change in the methods of evaluating administrators.

As cited above, unstructured narration and unstructured documentation are methods that fall in the informal area of the spectrum of possible evaluation approaches. Unstructured narration is probably

the most common form of written evaluation in higher education. An unstructured format arises naturally when standards of performance are unclear and difficult to specify. With such unclear standards, there is a tendency to concentrate on traits such as ability to work well with others and fairness rather than achievements (Sprunger and Bergquist 1978, p. 249). Since the criteria are unclear for the evaluation, there is no standard against which performance is judged (Rasmussen 1978, p. 24). Such evaluation can provide the basis for personnel decisions, but it is too informal to serve other functions of an evaluation system, such as providing a basis for development of the administrator, giving evidence of the degree of congruence between administrative actions and institutional goals, or meeting demands for administrative accountability. Unstructured documentation has many of the same weaknesses, since it too is usually based on implicit rather than explicit criteria. Even when the criteria are explicit, if the administrator is allowed to select the documentation to be used, then there may not be an objective assessment of performance on all criteria. The review of the documents of all the other administrators in a unit by each administrator can serve the purpose of team-building and provide an inventory of personnel resources, but it is not the most effective way to obtain these benefits (Sprunger and Bergquist 1978, p. 249).

Dimensions of Rating Scales

Rating scales measure traits and abilities that are considered to indicate successful performance or activities that are elements of successful performance. When traits and abilities are rated, there is a scale, numerical or verbal, which, if verbal, measures the presence of the item with ranges such as high-to-low, outstanding-to-inadequate, or excellent-to-poor. Activities are equally rated according to their frequency on a scale, for example, ranging from always-to-never. In addition to rating the person evaluated on certain dimensions, the instrument often contains an overall assessment question for his or her total performance. Rating instruments usually do not address the question of the normative reference against which performance is measured. Fisher suggests six such references as follows: "(1) his or her predecessors in the position, (2) all other individuals currently in similar positions, (3) a platonic 'ideal' performance, (4) one's past performance, (5) one's own performance goals and/or (6) the performance expectations others have for him or her" (1977a, p. 4).

Although the scales vary widely in the exact description of what is rated, the qualities and activities can be categorized into groups. One such set of groups is knowledge and capacity, dependability, adapt-

ability, interpersonal relationships, commitment to professional growth, resource and personnel management, and institutional loyalty (Spranger and Bergquist 1978, p. 250). Another set established for presidential evaluations includes criteria according to education and experience, productivity and efficiency, leadership, managerial skills, personal performance (work habits, interaction with others, response patterns in various situations), personal qualities, educational statesmanship, political and fiscal awareness, administrative style, and unique criteria (Anderson 1973, pp. 27-34).

The following six categories are another way of summarizing the items most often included on rating instruments:

(1) Underlying Traits and Interests that Successful Administrators have: adaptability, communication skills, good judgment, impartiality, initiative, integrity, intellectual and cultural interests, mental stability, mental vigor, good personal appearance, physical vigor, punctuality, responsibility, self-adjustment and sense of humor, and trustworthiness. (These may be perceived as a simple trait or assessed as an actual dimension of performance, as in "display of initiative" in paragraph 2 below).

(2) General Quality and Dimensions of Performance: ability to organize, administrative skills, attention to details, awareness and anticipation, cost awareness, efficient delegation of responsibility, display of initiative, job knowledge, fairness of decisions, soundness of decisions, meeting work schedules, effective and imaginative planning, quantity of work, understanding and use of modern management procedures, and good judgment.

(3) Dimensions of Performance Related Closely to Interpersonal Relationships: considerate attitude toward faculty, other administrators, and students; sympathetic attitude toward faculty, administrators, and students; effective communications with group members; cooperation with others; effectiveness in dealing with people; fairness in dealing with faculty, administrators, and students; perceptive judgment of people; resolution or amelioration of human conflict; ability to say "no" effectively; willingness and ability to "open doors" for others; willingness to put other first; and effective work with other administrators.

(4) Dimensions of Performance Related Closely to Leadership: inspires confidence, maintains morale of the work group, assigns work fairly and suitably, encourages democratic participation, instills enthusiasm for organizational and personal professional goals, presents appropriate materials for group action, and secures group action.

(5) Professional Interests: commitment to excellence, commitment to service, interest in continued professional development, interest in progress of education, knowledge of new developments and innovations in higher education, contributions to academic or administrative field, and tolerance of new ideas.

(6) Commitment to Institution: concern for general welfare of institution, participation in activities of campus community, and skill in achievement of desirable public relations.

Criticisms of Rating Scales

Rating scales do have advantages. They are simple to administer and score. With them confidentiality and anonymity are easily maintained. They provide an ideal method for longitudinal studies on administrative performance through asking the same questions over a period of years (Farmer 1978b, p. 35). If the results are shared, rating scales can provide data to build administrative teamwork and can provide useful information about the perceptions of those with whom the administrator works (Sprunger and Bergquist 1978, p. 250).

Despite these advantages, the use of rating scales has severe deficiencies as a method of evaluation. Trait measurement, which is often a part of the rating scale approach, is no longer a popular assessment method in business and industry, which have much more experience in assessment techniques (Labri 1972, p. 698). The reason is that measuring traits is difficult to validate as a method of assessing performance (Farmer 1978b, p. 35). Since business wants evaluation methods that can withstand legal challenges under antidiscrimination laws, procedures that cannot be validated are likely to be discarded.

The validity of the results is also subject to question because of the halo effect (an employee who is good on one dimension is given glowing ratings in every category), friendships, prejudices, leniency, errors of central tendency, quick guessing, and appearances (Farmer 1978a, p. 111; Farmer 1978b, p. 18; Stonehill 1977, p. 35).

Another problem with measuring traits and activities is that a single form is often used to evaluate several administrators whereas different positions may call for different traits (Farmer 1978, p. 47). In the same vein, standardized forms that institutions borrow from each other don't take into account differences in the milieus at different institutions or even the differences in what is desirable at the same institution at particular times in its history (Hodgkinson 1978, pp. 107-108). Rating scales do not tie in as well to administrative development as do some other evaluation methods (Farmer 1978b, p. 34).

Although most writers agree about the general shortcomings of the rating scale approach, some effort has been made to use scales that overcome the criticisms. Attempts have been made to validate ratings of administrators by comparing the results with other instruments that purport to measure the same criteria and by determining whether the instruments differentiate between persons selected as effective and ineffective colleagues (Klein and Denham 1974 and Skipper 1976). These studies indicate that it may be possible to establish a link between abilities or traits and performance. Instruments can be designed to measure the elements of guessing by asking about the competence of the rater to judge the person evaluated. The instrument may ask questions about the frequency of contact or communication with the administrator being evaluated and the level of understanding by the rater of the administrator's duties (Phipps 1973), or ratings may be compared according to the amount of contact of the rater with the administrator (Franker 1975, p. 688). The halo effect can be mitigated by asking questions that have "an element of mutual exclusion, e.g., 'concern with getting work done is primary' and 'concern with employee satisfaction is primary.'" The evaluator can be asked to place the administrator along a continuum with these poles (Newbill 1977, p. 57). How can be compensated for by a form that requires the evaluator to judge both the actual and the ideal (according to the evaluator) performance of the administrator on various dimensions. Using such a form to rate a dean by the faculty, the president, and the dean himself or herself, variances can be calculated between the ideal performance desired by the raters and the actual performance they perceive (Rousseau 1978). Goodwin and Smith present a full discussion of the construction of instruments for rating administrators (1979).

After reviewing the problems with rating scales, Sorrell and Hayward suggest that if they are used, the following conditions should be present: (1) the activities rated should be included in the job description; (2) the rater must be able to observe the behavior rated and make a valid judgment concerning it; (3) the administrator evaluated should take part in the design, administration, and review of the form; and (4) raters should be allowed to omit responses where they feel unable to make judgments (1976, p. 10).

Even if rating scales are constructed to minimize their disadvantages and administered under optimum conditions, a major question about them still remains. If we want to assess performance, why don't we measure it directly? We can then use criteria that are derived from the formal job descriptions and role definitions; the assessment criteria can be tailored to the position. We can also go beyond the sum of

ratings on long-term personality dimensions to discover the competence of the total person. Evaluation must go beyond quantifiable measurement to a quality dimension (Clifford 1978, p. 2). Assessment of the total person provides an excellent transition from evaluation to development of administrators.

Structured Documentation (Portfolios)

Sprunger and Boggupis see this technique as one of the most appropriate for evaluation in higher education because the criteria of successful administrative performance are often controversial or vague (1978, p. 298). This is analogous to the approach used in the performing and creative arts. The administrator and his or her supervisor can select the performance categories in which documentation of accomplishments shall be made. Once these are selected, the administrator is responsible for documenting his or her successful performance in each area. Others, such as subordinates or peers, can be involved in the category selection process. This method does not ideally serve all the purposes of evaluation. It is rarely useful in building a personnel inventory or checking the perceptions of others. It does not fit well with ordinary research purposes. It provides only noncomparative evidence that is not relative to any standard, including the administrator's own prior performance (Rossmiller 1978, p. 28). This method, however, has several advantages. It provides an effective procedure for personnel decisions. It can be used with many development programs. It can be used with institutional goal setting. Finally, it can assist in role clarification, team building, and fostering accountability.

Description of Management by Objectives

Management by objectives (MBO) is an increasingly used method of evaluation in higher education (Kemmis et al. 1978, p. 182). Not all goal-achievement systems of evaluation fit the management by objectives mode, but it is the most common of this type of approach.

An MBO program ideally has all the following steps:

(1) Define the mission of the institution.

(2) Establish institutional goals for a specific year and, as far as possible, have these endorsed by the institution's constituencies.

(3) Have each subunit define its purposes and how these fit into the goals of the whole institution.

(4) Establish job descriptions for all positions in the organization; these must be agreed to by the supervisor and his or her subordinate.

(5) Each subordinate must then establish major performance objectives for the coming year in measurable terms with specific deadline date.

(6) The supervisor and subordinate should enter into a joint review of a mutually agreed to set of objectives.

(7) A schedule should be established for a review of progress toward such objectives.

(8) The employee should prepare yearly a report of major accomplishments and variances between the results expected and the results achieved and present this to the supervisor.

(9) This annual summary report should be discussed by the supervisor and subordinate.

(10) A new set of objectives should be established for the subordinate for the next year.

(11) Long-range objectives should be reviewed and periodically adjusted (Nordvall 1977, p. 56).

The advantages of the MBO are many. It measures performance rather than traits and leads to a reward system that recognizes actual performance (Riggs 1972, p. 129 and Temple 1972, p. 9). It leads to improved individual performance through better understanding of the administrator's role and how he or she is evaluated in it (Chronister 1974, p. 68). A management-by-objectives system makes the transition from evaluation to development in areas of deficiency an easy one (Fisher 1977a, p. 5). It also eases the transition from evaluation of individual performance to the evaluation of the performance of the entire administrative unit (Hardy 1972, p. 109 and Lahti 1973, p. 491). Numerous improvements in the total management of the institution are claimed for this approach: more participative management, better goal clarification and planning, better communictions, improved definition of responsibilities, better team building and leadership development, improved budgeting procedures, and increased accountability (Chronister 1974, pp. 64 and 67-68; Riggs 1972, p. 129; and Winstead 1979b, p. 92). Management by objectives was the most favored approach among businesses that were surveyed about preferred appraisal systems (Anderson 1978, p. 36).

Management by objectives is not, however, a panacea, especially when applied to institutions of higher education. The basic problem

is with the first steps of the process. Colleges and universities do not have clearly stated missions and goals that yield quantifiable objectives (Sprunger and Bergquist 1978, p. 251).[1] Drucker, one of the originators of MBO, however, presents a dissenting view that sees the essential difference between business and education in the meaning of "performance and results" in the two contexts rather than in the concreteness of the mission and objectives (1973). In addition, higher education institutions do not have the necessary institutional research programs to provide the data needed for an MBO program; administrators do not have the competence (e.g., in writing objectives or coaching subordinates) to implement such a sophisticated management practice; and colleges tend to introduce MBO without proper training and organizational development programs (Boylan 1973, p. 323; Richardson 1975, p. 309; and Sprunger and Bergquist 1978, p. 251). To help supervisors in the coaching role, Zion has proposed that regular one-to-one meetings be held between supervisors and subordinates to carry out the processes of problemsolving, delegation, and evaluation, which are necessary if a supervisor is to foster the growth and development of subordinates (1978a).

The writing of objectives for college administrators can be particularly difficult because of role conflicts administrators face and because supervisors of middle managers often have not worked in the areas they supervise (Schermerhorn 1973; and Scott 1978, p. 12). As a result of the difficulties in writing objectives in higher education there is a tendency to emphasize activities rather than key results (Winstead 1979b, p. 91).

The examples of evaluation objectives in material about performance-based evaluation validate the concern for writing objectives for higher education administrators. What has been quantified does not seem to be the essence of successful performance. The standards of performance for presidents in the Los Angeles Community College District stress completion of activities (e.g., approval of College Master Plan, existence of an effective organization chart) whose qualitative value is not necessarily insured (1977, pp. 5-7). Quantitative measures have been proposed for the personnel function at a college (e.g., number of applicants interviewed, number of employees enrolled in

[1]Brandl goes beyond this objection to argue that the university is a "non-organization" that, unlike business, does not seek to maximize certain outputs in an efficient manner. There is no agreement about what these outputs should be and such agreement is unlikely because the "university is designed not for reconciling conflicts, but for permitting them." In *Outputs of Higher Education: Their Identification, Measurement, and Evaluation* published by the *Western Interstate Commission for Higher Education* in 1970, pp. 86-87.

benefit programs) but these are not complemented with qualitative measures (MacLean 1976, Appendix I). One set of criteria proposed for an MBO program mirrors the traits and abilities tested in a rating scale, such as awareness, initiative, and commitment to service (Riggs 1973, pp. 131-132). Winstead describes suitable objectives as containing "six elements: time, outcome, performer, action, accomplishment level and method of measurement" (1979b, p. 95). He gives an example for an objective of the development office that has these six elements:

> "By June 1979, the Development Office will solicit by mail all alumni and
> *TIME* *PERFORMER* *ACTION*
> parents for financial support and obtain positive response from 15 percent
> *OUTCOME* *MEASUREMENT*
> to produce an income of $125,000" (1979b, p. 95).
> *ACCOMPLISHMENT LEVEL*

This example is one that can be quantified because the accomplishment level is an amount of money (1979b, p. 95), but his elements do not solve the problem of qualitative measurement of ambiguous goals.

In weighing the advantages and disadvantages of an MBO system, consideration must be given to the large commitment of time this system requires. If improperly implemented, this commitment is exacerbated by a tendency for the system to require too much paperwork. A drawback to acceptance of the system is its identification with business and industry rather than education; it can appear to be production oriented rather than people oriented (Winstead 1979b, p. 92).

Mixed Systems of Evaluation

The six approaches discussed above are often combined or expanded in an institutional evaluation system. Hoyle sees the rating through a survey instrument of the perceptions of a dean by the constituencies he or she serves as a useful first step to a long-range evaluation system (1973, p. 97). Fisher and Howell describe a system that assesses attainment of objectives agreed to by the administrator and supervisor while also seeking evaluation of performance on rating sheets embodying performance criteria that are sent to supervisors, subordinates, peers, and representatives of clienteles served. In addition spot evaluation sheets are collected at random from visitors to administrative offices to determine if the visitors were well served (1972, pp. 119-120). The University of the Redlands uses a management-by-objectives approach for evaluation of a subordinate by a supervisor and other methods for evaluation by the staff whom the administrator supervises (Miller 1974, p. 81).

The mutual-benefit evaluation approach uses the goal-referenced logic of MBO but broadens the approach to deal with the organizational complexity of higher education institutions. The selection of the goals by which an administrator is judged must go beyond the perception of institutional needs held by the administrator and his or her supervisor. The selection must be based on extensive empirical information that takes into account the appropriateness of an administrator's actions in terms of the institution's climate, pattern of authority, and developmental stage. The differences in appropriate acts and styles of administrative performance require a "multimethod" approach to evaluation. In addition to being "multimethod," the evaluation process is "multifaceted," "multisource," and "institutional context-related." The process has these dimensions not only to provide accurate results, but also to involve and produce mutual benefits for faculty, students, and administrators so that these constituencies accept the process. The four major areas assessed are goal formation, goal attainment, resource acquisition, and membership satisfaction. Goal attainment could be assessed through an MBO-type method, whereas membership satisfaction might be assessed by a survey form sent to constituents served. (Thomas et al. 1977 and Genova et al. 1976, pp. 127-148).

Finally, although management by objectives is seen by some as a too sophisticated management technique for colleges and universities, Furman University developed an MBO model that drew on theories of management information systems, organizational development, management science, and institutional research. This major effort was supported by grants from four private foundations (Winstead 1979b, pp. 157-158). Such models are based on the most advanced business management techniques; however, it is questionable whether this model could be implemented in the face of the strong opposition that would appear at some colleges and universities over managemnet techniques that might seem unduly intrusive to the educational functioning of the institution.

Selecting and Implementing an Evaluation Program

An institution considering the selection and implementation of a program to evaluate administrators must consider more than the broad outline of the various evaluation approaches and the advantages or disadvantages of each. An initial decision is required as to whether a new evaluation program is needed by the institution. The dimensions of a desirable program have to be decided in the context of the institution's environment. The process of making the new evaluation system acceptable to those involved must be planned. This planning must consider questions such as who will be involved, when will the evaluation take place, and to whom will the results be disclosed. Finally, there should be a procedure for evaluating the new evaluation program.

The question of whether to evaluate has both a theoretical and a practical component. Some question whether there is a sufficient theoretical understanding of what is successful administrative performance to fashion an accurate evaluation system (Van De Visse 1974, p. 19, and Wallenfeldt 1976). Even if an accurate system is possible, a college or university faces the practical question of whether to institute a more accurate evaluation process. On the practical level there is the maxim of "if it's working, don't fix it." Even if the present evaluation system is not working, this failure needs to be perceived so that administrators agree that a new evaluation system would improve performance (Rasmussen 1978, p. 38; and Stiles 1974). Improving performance should be the main goal of the evaluation system. An institution where the faculty or administration is unionized must decide whether an evaluation system is consistent with the collective bargaining atmosphere and rules at the institution (Miller 1974, p. 78). Ideally an evaluation system should be incorporated into the other management functions of the college or university (Sprunger and Bergquist 1978, p. 243). The evaluation system should also form the basis for a program of developing administrators to improve their functioning.

What is likely to work poorly is an evaluation system that is instituted primarily to deal with pressures for evaluation by faculty, for example, some of whom may believe that they should evaluate administrators just as faculty are evaluated by students. Evaluation instituted with this motive will focus on the activity of evaluating

rather than the results. Once those demanding evaluation can be mollified by the fact that it took place, there will not be the desirable follow-up phase of the use of the results to improve administrative performance (Farmer 1979c, p. 116).

Desirable Features of an Evaluation Program

Lists of desirable features for an evaluation program concentrate on wide participation in the process and the appropriateness and quality of the program. A summary of these lists includes (Anderson 1975, p. 12; Miller 1974, pp. 80-81; and Van De Visse 1974, pp. 55, 127-128):

Participation in Process—

- Evaluation carried out with full knowledge of process and agreement to it by persons evaluated.
- Persons evaluated involved in planning the program.
- Evaluation of all levels of administration from the president on down included in program.
- All constituencies involved, such as alumni, students, or faculty should understand the process.
- Self-evaluation included in program.

Appropriateness of the program

- Criteria tailored to the functions and current expectations of specific administrators.
- Programs rooted in the institution's objectives, purposes, and traditions.

Quality of the program

- Objectives clearly stated and known to all concerned.
- Improvement of administrative performance stated as main purpose.
- Feedback of results provided to persons evaluated.
- Coordination assured with a program of administrative development.
- Current research on evaluation reflected in program.
- Evaluations received from those in a position to make valid judgments.
- Objective as well as subjective measures used.
- Confidentiality maintained and distribution of results controlled.
- Program subjected to review and improvement.

Procedures for Successful Implementation

Many of the desirable features listed above for an evaluation system are concerned with obtaining the support that is necessary to implement it successfully. Broad participation is the key element in gaining this support. At Texas Christian University a committee of students, faculty, and administrators was appointed to develop the instruments. The committee not only developed the instruments; it also conducted a trial run after which the instruments were revised using a factor-analysis technique (Fenker 1975, pp. 666 and 684). A recommended procedure that goes beyond this has the process begin with a study group of eight to twelve members drawn from students, faculty, administration, and the governing board. If this group recommends a new evaluation system, the recommendation should be the subject of campuswide hearings. Any final plan should be endorsed by all the campus constituencies (Genova et al. 1976, pp. xiv-xv).

Even if broad support is obtained, the difficulties in implementing a new program may be accentuated if a management-by-objectives approach is used. Since this is a complex approach and is often part of a comprehensive change in management practices, it naturally fosters opposition. Furthermore, even if agreement is reached among all concerned that this is the best approach under the circumstances, it is more difficult to implement than the simple distribution and tabulation of rating forms. Two major problems are: (1) the necessary defining of responsibilities so that appropriate objectives can be established, and (2) insuring that the objectives set concern key performance areas while still being phrased in measurable terms. In reviewing the accomplishment of the objectives by a subordinate, supervisors must be trained to coach the employee toward improving performance (Lahti 1973, p. 491). Supervisors and their subordinates must be trained in the total process of goal setting and performance review (Brookshire and Sartell 1979).

Who Provides Evaluative Data

One person can evaluate another in two senses: first, he or she can provide evaluative data; second, the evaluator can review all the data from whatever sources gathered and make a qualitative judgment about the administrator evaluated. Evaluation in the second sense is often restricted to the administrator's supervisor who has the responsibility of assessing the performance of subordinates, but there are many possible evaluators in the first sense.

The supervisor is also involved in providing evaluative data. Other possible data sources include faculty, alumni, students, secretaries, and "administrative colleagues in higher and lower echelons and peers" (Farmer 1978, pp. 48-49).

There is no agreement about the advisability of using all these possible sources. Even if all of them are seen as appropriate, a system that seeks the broadest possible participation may become time-consuming and difficult to implement. Even though more sources of data may yield more accurate evaluation, an institution has to choose a system that can be implemented within the constraints of the time and resources available (Nordvall 1977, p. 55).

There is little disagreement about seeking the opinions of administrative colleagues and peers. These should be the opinions of those administrators who frequently interact with the person evaluated. Students have a unique perspective more oriented to the current impact of administrative policies than to long-term trends. This perspective must be considered along with their limited knowledge of many administrative functions. Farmer believes that the balance of these two considerations means that there are neither strong reasons to include nor to exclude student commentary in administrative evaluation (1979d p. 26). Alumni, too, have a unique perspective but they may not know many current administrators. Their opinion is best sought concerning the performance of administrators responsible for external relations (Farmer 1979d, p. 26).

An administrator's secretary knows more than anyone about his or her skills in managing an office or allocating time. The secretary is a valuable information source whom some would include in the evaluation process (Miller 1974, pp. 80-81; Farmer 1979d, p. 26). A problem that those suggesting secretarial involvement do not address is the administrator's ability to retaliate against a secretary who makes an unflattering appraisal. Although this problem also exists in the appraisals of a supervisor by an administrative subordinate, the secretary's lower position in the institutional hierarchy makes punitive actions more possible.

The opposition to faculty evaluation of administrators is based on several arguments cited by Cousins and Rogus (1977) and Farmer (1979d). First, some administrators question the validity of faculty judgments. Might not uninformed faculty members confuse popularity with real worth? In this regard the suggestion is made that faculty evaluations be sought for administrators with whom the faculty directly interact, such as the collegiate dean or vice president for aca-

demic affairs. Second, there is opposition based on the hierarchical distribution of power in the university. Can those below ever neutrally evaluate their superiors who control personnel decisions such as tenure and salary? This argument pertains to the peculiar relationship of faculty to administrators, whereby administrators are both the master and servant of the faculty. A third point is the effect of publicity of a poor appraisal by faculty on the continuing effective performance of an administrator. A fourth item is the effect of possible evaluation by faculty on the recruitment of administrators who are directed to make some tough changes. These arguments were not, however, found to be convincing either on theoretical grounds or on the evidence from actual evaluation systems with which the authors were familiar.

Thus, supervisors, faculty, and other administrators are seen as prime sources of evaluative data and students, alumni, and clerical staff as other possibilities. The format of using these diverse sources is usually the distribution of questionnaires or rating sheets to all of them or a sample of them. A major alternative format is the ad hoc evaluation committee proposed by Anderson (1975). This committee contains representatives from the governing board, administration, faculty, students, and alumni. It prepares an assessment portfolio of the person being evaluated. This portfolio contains a self-evaluation of the administrator, evaluative statements of the groups represented on the committee, and a summary consensus statement of the committee. The members of the committee do not poll or seek random sample interviews of the constituencies they represent. They attempt rather to summarize in whatever format they desire what they believe to be the prevailing opinion about the administrator among their constituencies.

When To Evaluate

Most of the writings on administrative evaluations do not discuss the frequency of the process, although many seem to assume a yearly evaluation. For higher-level administrators, such as presidents, chancellors, vice presidents, and deans, evaluations are recommended at intervals of three to five years (Surwill and Heywood 1976, p. 11). This is probably because these administrators are often evaluated through a more complex and time-consuming method. For lower-level administrators, a rigid timetable may not be ideal. If there is a promotion or transfer, an evaluation (perhaps abbreviated) might be made within six months to monitor initial performance. Even if yearly evaluations

are used, it may be wise to conduct these on the anniversary of employment or to otherwise spread them out over the year so that more attention can be given to the process than will be the case if a large group of evaluations are required at the same time (Nordvall 1977, p. 55). The time of evaluation during the year could be important; in a northern climate people may be in a different frame of mind in the bleak months of January and February than in May and June. Yet it may be difficult to spread evaluation dates over the year because evaluations are necessary at a certain time to determine salary increases. A difficult question in evaluation is its relation to salary determination.

Evaluation and Compensation

If the main goal of evaluation is improvement of performance, using the evaluation results to make personnel decisions such as retention, promotion, and salary presents a conflict. The supervisor serves both as judge of the work done and counselor to the employee to help secure his or her personal development. On the other hand, it is difficult to imagine a comprehensive evaluation program that is simply ignored when salary determinations are made unless there is a mandated salary scale on which progress is automatic.

Those proposing various evaluation schemes usually compromise by noting that the evaluation results should provide part but not all of the basis for personnel decisions. Some counsel that within the evaluation program there should be separate procedures for fostering improved performance and personnel decisions (Thomas et al. 1977, p. 14). This seems to recommend parallel evaluation procedures that could resolve the conflict but would also make evaluation more cumbersome. Others simply note that compensation is based on performance review and other unspecified factors. (Brookshire and Sartell 1979). A reason given for the evaluation not being the sole basis for personnel decisions is that evaluation can only indicate whether performance is above or below standard; it does not show if or why performance is exceptional (Sprunger and Bergquist 1978, p. 251).

The reluctance to make personnel decisions soley on evaluation may involve more than limitations of the evaluation procedures. Even if the procedures are totally accurate in assessing competence, organizations have a dual reward system based on both competence and service. There is a need to reward service even where competence is declining, although care must be taken to insure that the declining competence does not harm the organization (Hoalgkinson 1974, p. 273).

Confidentiality, Disclosure, and Right of Appeal

Another dilemma in developing an evaluation program is the need for both confidentiality and disclosure. Confidentiality of the opinions of individuals who provide evaluation data can be preserved, but the results of the evaluation must be disclosed to someone. For self-improvement purposes it is only necessary that the administrator see the results; he or she can share them with the supervisor if desired (Rasmussen 1978, p. 38).

At the other extreme ,the results can be distributed to every member of a constituency, such as the faculty, or even to all constituencies (Surwill and Heywood 1976, p. 7). The interest in general distribution is greatest when the president is evaluated (Hall 1979).

The desire to distribute the results generally has three grounds: it is in accord with the principle of administrative accountability to other constituencies of the institution; it increases the visibility of the administration; and it should lead to better administrative performance because it places the pressure of consumer concerns on administration in the same way that this pressure is placed on faculty by student evaluations (Genova et al. 1976, p. 146).

Thus, the attitude taken toward disclosure grows out of what one considers the primary purpose of evaluation: the development purpose makes disclosure unnecessary while the accountability purpose makes disclosure mandatory. If disclosure is made, the administrator will have a heightened interest in the accuracy of the report. He or she should be allowed to review the report and comment on it before disclosure. Anderson suggests there also be an appeal procedure for an academic administrator dissatisfied with the evaluation results. For administrators below the president, he recommends an appeal group, consisting of two members of the governing board and a peer administrator, that can hold hearings, receive evidence, and make a report of findings to the aggrieved administrator, the board, and the president. The president and the board would make the final decision of the appeal (1976, p. 22).

Evaluating the Evaluation Program

The link between improved administrative performance and increased student learning cannot be empirically verified. Thus improved management is a goal whose value is assumed for the larger goals of the college or university. But how can improved management be shown to flow from an evaluation program? Little is written about this. Attitudes of acceptance and cooperation by those involved in the

perceive are seen as an indication of success (Fisher and Howell 1972, p. 123). Surveys can be taken to measure not only these attitudes but also opinions as to whether evaluation has led to more efficient management, better communications, and whatever other goals are sought through evaluation. Finally, an outside consultant can be used to bring an unbiased viewpoint to the assessment of the effects of evaluation (Winstead 1978a, p. 168).

As indicated previously, administrative development is a part of a process that includes evaluation. Evaluation and development should not be completely separated for they both serve the same goal of improvement of individual and organizational performance (Fisher 1978, p. viii). As with evaluation, educational institutions have lagged behind some businesses in providing development opportunities for employees. For example, in the early 1970's IBM put 6 percent of its operating budget into management training, whereas schools at all levels put less than one-half of 1 percent of operating budget funds into administrative development (Shedd 1978, p. 17). In the late 1970's many large businesses were found to put 1 to 2 percent of their gross payroll into development and training, while less than fifty colleges and universities were found with persons with full-time responsibilities for management development, and twenty of these persons were primarily concerned with nonacademic areas (Higher Education Management Institute 1978, pp. 4-5).

Management Development in Business and Education

Since the early 1970's, however, interest in administrative development has been growing in higher education, questions have arisen about the extent to which the development models in business can be transferred to an educational setting.

On the one hand, some caution that although much can be learned from the industrial experience of employee development, this experience cannot simply be directly applied to higher education (Rowe 1977, p. 2). Knowing what can be adapted from the industrial experience is difficult because there is no coherent theory of the organization and management of the college and university enterprise (Miller 1979b, pp. 36-37). Still, some changes in the operation of institutions of higher education are evident. University operations have become more complex and specialized. As a result, some administrative functions in higher education have become more similar to management functions in the business sector (Miller 1979a, p. 1282). The strength of the analogy between business and higher education administration varies according to the administrative position being considered. Managers of computer facilities and college business offices may have duties

closer to those in a business than those of the college, for whom a businesslike role may be difficult to identify. When academic administration concerns itself with faculty and curricular affairs is discussed, there is more of a tendency to claim that an artistic balancing of forces is required, and that the mix of skills and abilities necessary for successful performance is unique to the university environment (Bogue 1978, p. 40).

Although the question of whether a business executive can transfer his or her skills to a higher education setting has been discussed (Johnson 1978), little consideration has been given to a more intriguing issue: Is college administrative training a good background for a transition to business? A standard answer to this query in the past would have been "no," with emphasis being placed on the ambiguous goals and uncertain administrative hierarchy in education, as contrasted to the clear profit motive and specified chain of command in business. But with managerial employees in all sectors demanding more participative leadership patterns, business is getting closer to education (Rock 1978, p. 16). What better training could there be for dealing with executive employees who simply will not accept company rules than the experience of having tried to encourage faculty members to accept a college policy?

Regardless of the degree of similarity between higher education institutions and business enterprises, business programs are the natural source of ideas on administrative development. Thus, when the Higher Education Management Institute (HEMI) was founded in 1968 under a grant from the Ford Foundation—in 1969 the American Council on Education assumed responsibility for administering, disseminating, and developing the HEMI program—one of the first efforts of the HEMI staff was to review the literature on management development principles in business. The courses at universities offering a doctorate in higher education were also reviewed, but these appeared neither to be meeting the continuing education needs of current administrators nor to be training students in the use of management development techniques. The major theories in business had common underlying concepts, such as the desirability of open communication, teamwork, participative decisionmaking, measures of performance on which the individual is judged, concern for and encouragement of subordinates, and high standards. The organizational effectiveness model of Likert was chosen by the HEMI staff as the most useful on which to build a higher education administrative development program. This model provides four systems of authority

and work-group relations: coercive, competitive, consultative, and collaborative. The collaborative mode seems the most desirable. In it there is one-to-one consultation between supervisor and employee, and this communication becomes a process for team-building among the entire group (Brookshire and Talley 1978, pp. 36-38; Higher Education Management Institute 1978, pp. 5-19; Webster 1978, p. 120).

The HEMI program uses five phases: introduction, needs assessment, action planing, implementation, and evaluation. The introduction phase tells prospective participating institutions about the program through literature and a seminar. The needs-assessment phase involves collection of data about the institution so as to describe the current management approach. The action-planning phase discovers areas of needed improvement from these data and develops an improvement plan for these. Implementation involves development and training programs for work groups and individuals at the institution. The evaluation seeks to measure both the satisfaction of those participating and improvement in institutional performance (Higher Education Management Institute 1978, pp. 11-13).

Desirable Features of a Development Program

A list of desirable features for a development program synthesized from Bare (1977), Bedsole (1979), Lindquist (1978), and Tiedeman (1978) is as follows:

Relationship of development to daily work tasks—

- Work planning and development planning should be blended.
- Development activities should include practical topics tailored to the collegiate setting.
- Development should concentrate on the program unit.

Tailoring the program to the institution and person—

- The program should realize that there is no ideal style of administrative behavior for any administrative position.
- The program should be designed locally to reflect the institution's needs and environment.

Encouragement of participation in the program—

- Employees are required to participate, although with flexibility as to the way this is handled.
- Participants should have a sense of ownership of the program and incentives to participate in it. (This idea tends to imply voluntary rather than required participation.)

- The context for development is nonthreatening.
- Confidences are honored.
- The successes of an administrator and administrative unit should be celebrated. This should build a positive self-concept to enable the administrator to deal with the problems that are identified.
- Faculty, many of whom have administrative tasks, should be included in the development efforts.
- The development program should attend to personal and career concerns as well as job skills.

Relationship of individual development and the organization—

- Individual development plans should be linked to department plans and institutional objectives.
- Institutional supports for development activities should include funds for training in needed skills and release-time for someone to monitor the development program.
- The program should focus on the administrative team as well as individual administrators.
- The program involves both leaders and peers and is backed by a strong commitment from top administrators.
- The program is concerned with both the effectiveness of administrators and their job satisfaction.
- The development efforts connect administrators with those above and below them. The efforts should make coaches of supervisors.
- Development efforts should build administrative teams.
- A learning community should be developed in which administrators help each other in development efforts.

Dimensions of development methods and goals—

- The program should have clearly defined methods.
- The program should have modest initial expectations.
- Development should be an integral part of the evaluation process.
- Development efforts should focus on improvement.
- Collaborative skills should be honed.
- Persistent development efforts are needed.
- Consultants should be used only by facilitators, not as change agents.

Constraints that affect administrative development are resistance to modifying old ways, role conflicts of administrators, tensions in both the internal and external environments, and the ambiguous goals and power relationships of a university (Boyer and Grasha 1978, pp. 23-29).

What Does a Development Program Improve?

A simple idea of a development program is that it gives an administrator skills or knowledge specific to his or her job. The focus is on a narrow range of material that is job related. The first problem with this simple idea is its emphasis on the job. Administrators are not interchangeable parts that can be fit into any context. An important part of development is looking at the stages of an administrator's life and career. The whole field of adult development with phrases such as "mid-life crisis" and "finishing up" may have too quickly entered the realm of pop psychology, but it provides the insight that on-the-job performance is affected by career and life stages (Hodgkinson 1978, pp. 109-112). Gaige speaks of job transitions, career transitions, and life transitions. He notes that an administrative development program needs both a training component to help administrators with new job responsibilities and "a personal development component to facilitate the complex personal-professional growth process of administrators" (1977, p. 7). Hodgkinson suggests specific strategies to cope with the effect of adult development on administrative performance. For example, for administrators who are "hanging on" during the period near retirement, he suggests the assignment of an intern to work with the administrator for the last two years either as his or her potential replacement or simply as someone receiving general training (1978, pp. 109-112).

The other aspect of the simple idea of development is the emphasis on knowledge and skills for the specific job as the content of a development program. Development activities include formal classroom courses and seminars for administrators from one institution or from many institutions on topics such as long-range planning and basic management (Case 1974 and Goldenbaum 1978). Career development, however, requires more than conceptual learning. It requires the development of competencies such as "interpersonal communication, conflict management, group process, and planning and problem solving process" (Boyer and Grasha 1978, p. 23). Similarly, behavioral change is not brought about by increased job knowledge. For performance improvement to come through such change, a development program must go beyond skill training to "diagnosis of role performance . . . training in role relevant behavior, guided practice and feedback to refine the behavior . . . organizational supports to learning and incentives to motivate the desired action" (Bare 1977, p. 2).

Role Definition and Growth Contracts

Two interrelated techniques that can be used for a comprehensive

administrative development program are role definition and growth contracts. Zion proposes role definition as a technique to give the administrator a clear understanding of his or her purpose in the university, to provide awareness of means to accomplish the purpose, to give recognition to the skills and abilities needed to implement the means, and to provide opportunities to acquire and strengthen these abilities and skills (1977, p. 5; 1978b, p. 63). The process begins with the writing of a rationale that explains why the administrator's position is necessary to the institution. From the rationale flows a role definition comprised of statements related to the purpose in the rationale. A job description is seen as a statement of how the role-related activities will be carried out during the year; thus, while the role remains somewhat stable, the job description changes as the activities needed to carry out the role change. Once the rationale, role, and job description are formulated, then an inventory is drawn up of the abilities needed to fulfill the role. The administrator decides with his or her supervisor the skills and abilities that must be acquired or strengthened and a three-year growth plan is formulated to gain from them (1977).

A growth plan is also drawn up under a growth-contract system. Growth contracts are defined by Berte and O'Neill as "any of the various evaluation plans that provide individuals the opportunity to deal consciously with, and to express in writing, their goals and objectives for personal growth and development over a designated period of time" (1979, pp. 50-60). They see growth contracts as including four elements: self-evaluation, specified areas for improvement, a plan for improvement, and establishing long-range goals. Areas of improvement are not limited to job performance, but may include personal, professional, or physical development. The plan should be as specific as possible, with long-range goals providing an essential reference point (1979, pp. 61-62).

The *Faculty Development Manual* of Gordon College (1977) contains more detailed steps for the implementation of a formal growth contract plan which, although stated in terms of faculty development, can be applied to administrators and faculty. The steps include:

(1) Preparation of an individual profile based on self-assessment statement of current goals, long-range goals, and a synthesis of these elements.

(2) A profile conference with the dean to inform the administration of the faculty member's plans and efforts and to begin the dialog necessary for any desired major role changes.

(3) Preparation of the first draft of the annual individual development plan with goals, means of accomplishment, means of assessment and budget request, and selection of an evaluation committee of at least two persons to assist in designing and implementing the plan and monitoring the faculty member's growth.

(4) Submission of the profile and first draft to the Faculty Development Committee.

(5) After receiving the response of the Faculty Development Committee, preparing the final draft of the annual plan.

(6) Submission of the final plan to the Faculty Development Committee.

(7) Implementing the plan.

(8) Self-assessment of growth at the end of the year, report to evaluation committee, and preparation of assessment of growth by the evaluation committee.

(9) Submission of the self-assessment report and evaluation committee assessment to the Faculty Development Committee.

The Faculty Development Committee files are confidential. The faculty member may, but need not, place the reports used in this process in his or her file in the dean's office.

One issue that growth contract systems may not adequately address is the team building process of administrative development, since the contracts seem to center on the development of the individual.

Who Is Involved in a Development Program?

The Gordon College procedures involve the faculty member, his or her peers on the committees involved, and the dean. A question arises in such a development process as to the role of the supervisor. Berte and O'Neill advise that the administrator use a consultant (who could be a colleague, alumnus, or student) to assist in the design, implementation, and evaluation of the growth plan, but the supervisor's role is unclear (1979, p. 62-63). Bedsole sees the immediate supervisor as the typical career development advisor. This person coaches the subordinate in his or her development efforts and represents the college's interests in the individual's career planning. There is, in addition, an internal career development consultant who counsels administrators in their career development plans (1979, p. 129).

The use of outside consultants is encouraged as helpful in data collection and analysis, diagnosis of problems, and suggestions for change (Sikes 1978, pp. 53-54). Sikes questions the further use of con-

sultants as change agents, believing that this is a task for internal members of the organization (1978, p. 54); Dunsing, on the other hand, describes a planned change process at a community college where the consultants remained closely involved as change agents over a two-year period (1978).

Suggestions for Implementation of Development Programs

In summarizing a collection of articles on administrative development, Lindquist extracted a list of suggestions for implementing development programs (1978). To insure that administrative development is tied to the institutional concept, one should begin by assessing individual and organizational needs; focusing on problem-solving; emphasizing peer teaching and support; clarifying administrative goals, roles, competencies, and rewards; and following through by means of holding a series of related seminars, organizing a mentor system, using a development facilitator to maintain momentum, organizing task groups to carry out implications of development activities, ending development meetings with an action plan, and using growth contracts (pp. 196-200).

Five general strategies are: constant assessment of individual and organizational development needs; focusing activities on solving immediate problems while enhancing skills to solve future problems; enabling administrators to give each other mutual support in development activities; clarifying roles, goals, rewards, and competencies for administrators while tolerating the unavoidable ambiguity of these in an academic setting; and, once again, following through (p. 200).

Location of Development Activities

Development activities can take place within the institution, among a consortium of institutions, or at a regional or national level. Major national programs include the Institute for College and University Administrators affiliated with the American Council on Education, which offers mostly week-long orientation sessions for administrators recently appointed to major positions, the six-week Summer Institute for Educational Management at Harvard University, a similar Summer Institute for Administrative Advancement at the University of Wisconsin, and a three-week Summer Institute for Women in Higher Education sponsored both by Bryn Mawr College and Higher Education Resource Services (HERS). These summer institutes use minicourses and administrative problem-solving exercises (Fisher 1977b, p. 4).

Internship programs exist at various levels; a well-known national one is the American Council on Education Program in Academic Administration. It provides intership experiences of five to fifteen months (usually for an academic year) for forty persons either at a host institution or at the fellow's home campus. A high-level administrator serves as the mentor to the fellow, who does administrative tasks and projects while carrying out a program of reading in administrative areas and also preparing a paper on a significant aspect of academic administration. In addition to the ACE Fellows program, the American Council on Education also sponsors a Cooperative Personnel Exchange that arranges exchanges of faculty members and administrators between ACE member institutions, the federal government, businesses, other colleges and universities, and higher education associations (Stauffer 1978, pp. 87-93).

Professional associations provide national and regional conferences on higher education topics. These are often listed in the Calendar section of the *Chronicle of Higher Education*.

Opportunities offered by consortium and statewide systems are included along with programs of individual institutions in *A Guide to Professional Development Opportunities for College and University Administrators* compiled by the Office of Leadership Development in Higher Education of the American Council on Education. A foremost consortium effort is the Center for Institutional Development of the Kansas City Regional Council for Higher Education, which provides formal training over a wide range of subjects to administrators and faculty members from any school in the consortium (Goldenbaum 1978).

Many colleges offer in-house staff development programs (Fisher 1977b, pp. 4-5). Although the Higher Education Management Institute is a national organization, its programs are based on the assumption that training, which is focused on the work group, must be internal at the institution. Thus, the Institute develops training modules to be used at institutions and trains internal staff members to lead these training sessions (Brookshire and Talley 1978, p. 43).

Fisher proposes a "National Academy for Leadership Development in Postsecondary Education" to "clarify, coordinate, consolidate, improve, and expand on (but *not* control) the present varied alternatives" for administrative development (1977b, p. 5). The Academy would offer programs and assist other organizations in developing programs for their constituencies. The Academy's programs would offer an alternative between the short seminars or workshops and the graduate degree programs that are now available.

Administrative Development and Organizational Development

Regardless of the location and sponsorship of the development activities, the skills and knowledge gained through these activities must be deployed effectively within the institution for the desired link to occur between administrative development and increased organizational effectiveness. If the organization provides no support for implementing the new skills, they will not be applied. Thus, Richardson (1975) states that there must be organizational development that supports individual development. (See chapter two under Organizational Development). Sikes presents "The Six-Box Model" of the six areas that must be monitored by leaders to identify trouble spots needing organizational development. These are purposes, structure, rewards, helpful mechanisms, and relationships. He then lists options for intervention on a personal, group, or organizational level that include: Process/Facilitation (e.g., improve abilities of the system or people), Structural/Technical (e.g., change rules or use of physical space), Knowledge/Expertise (e.g., share information or teach), and R & D/Demonstration (e.g., do a research project or demonstration model). Finally, he lists the advantages and disadvantages of each of these options pertaining to what is required (interpersonal skills, knowledge, time, etc.) to implement the option, the types of problems for which each approach is most appropriate, and the sense of commitment or resistance each is likely to cause (Sikes 1978).

Evaluation of Development Programs

Evaluation can take place through a survey instrument of participants in the development process or others affected by it. This does present the problem of whether changes perceived are attributable to development activities (Brookshire and Talley 1978, pp. 44-45). One thing that can be surveyed is the amount of application of what the administrators learned in development activities (Goldenbaum 1978, pp. 113-116). Use of external consultants as evaluators has also been reported: they evaluate activities while they are conducted and then through subsequent interviews (Miller and Whitcomb 1978, pp. 87-88).

Evaluation and Development of College Presidents

Many articles and papers concern the evaluation and development of college presidents only. The president is the most important administrator, and his or her proper evaluation is seen as crucial. Furthermore, the complexity of the administrator's role is accentuated at the presidential level so that the evaluative criteria become more difficult to fashion. Questions of the reporting of the evaluation results, the use of the results, the timing of the evaluation, and the use of consultants all take on unique dimensions in the assessment of a president's performance. Thus, although presidential evaluation raises many issues common to administrative evaluation in general, it also raises special issues.

Presidential Roles

Discussions of presidential evaluation usually begin with a review of the multiplicity of roles that a president must fulfill. These differences in roles exist both between and within institutions. The president of a community college is in a position dissimilar to that of the president of a large state system with many four-year institutions (or the president of one of these institutions) or to that of the president at a small church-related college; but even presidents at colleges that appear similar according to size and type of control may face quite different roles due to the history and environment of their institutions.

Anderson summarizes major books on the roles of college presidents (1976, pp. 51-60):

- Wriston *(Academic Procession: Reflections of a College President)* sees the central goal of the president as doing everything possible to enhance student development. The president has limited power and his or her key attribute must be persuasiveness applied to faculty. Faculty can be persuaded most easily if they are given the best possible environment for teaching and research; providing this environment is a way to persuade faculty to give high quality instruction that will further student development.
- Stoke *(The American College President)* sees the president more as an academic manager than as an innovator. He or she is an administrator who smoothes out personal and public relations. The president clarifies the purposes of the university in such a way as to bridge the gaps of understanding among the various constituencies.

• Kerr *(The Uses of the University, with a "Postscript—1972")* describes the president of the multiversity as a gladiator striving for quality and freedom; an initiator seeking change and progress, even if this disturbs the peace of the university, an imagemaker for the university; and most important, as a mediator among constituencies.

• Kauffman *(The Selection of College and University Presidents)* advocates that the president be an effective manager, a clarifier of institutional values, and, for public institutions, an effective political leader. The desirable qualities for a president, nevertheless, do vary according to the institutional type and current situation.

• Dodds *(The Academic President—Educator or Caretaker?)* calls for the president to stress the role of academic leader while delegating the business operations to other administrators. Educational leadership could create an environment of critical self-examination and encouragement of worthy innovations.

• Bolman *(How College Presidents Are Chosen)* stresses finding a president whose characteristics are most closely related to the areas of the college's greatest needs. He does not set forth ideal attributes and notes only basic characteristics such as academic stature (possession of earned doctorate needed to insure the respect of faculty), personality, and administrative acumen. Administrative acumen can be defined differently according to the environment of the institution.

• Cohen and March *(Leadership and Ambiguity)* have the most complex description of presidential roles, which includes eight metaphors related to presidential style. These include:

(1) Competitive market, where the president can establish any type of organization he or she wishes within the constraints imposed by constituencies.

(2) Administration, where there are clear objectives set by the board toward the achievement of which the president coordinates the activities of the parts of the college.

(3) Collective bargaining, where the president mediates disputes and supervises the implementation of agreements reached.

(4) Democracy, where the president seeks support from internal and external interest groups to maintain a coalition that backs him or her.

(5) Consensus, where the president decides the issues to be dis-

cussed, induces discussion of them to solicit a consensus, and implements agreements reached.

(6) Anarchy, where the president is a catalyst who uses knowledge and adjustment of the system to create viable solutions to problems rather than choosing from the conflicting alternatives.

(7) Independent judiciary, where the president reflects historic truths of the institution rather than the demands of current constituents.

(8) Plebiscitary autocracy, where the president seeks advice but is not obligated to follow it. The president acts on the institution's objectives as he or she sees them and tries to persuade the constituencies that the action is correct.

Paxton and Thomas used Cohen and March's book as part of the basis for the development of a questionnaire about the dimensions of the president's role that was given to a sample of faculty at ten institutions (1977). Three relatively independent dimensions of presidential role were revealed through factor analysis: "personal-public image, faculty and student interactions with presidents, and absence of autocratic leadership style" (p. 341). The most important of these in predicting faculty satisfaction with the president was personal-public image, and of the eight metaphors set out by Cohen and March, only three—administration, independent judiciary, and plebiscitary autocracy had positive factor loadings on the personal-public image dimension (pp. 350-351).

Criteria for Evaluating Presidents

The varying roles of the president compel multiple criteria for evaluation. A compendium of these criteria from Anderson (1976, pp. 27-34), Hayes (1976b, pp. 42-44), Rock (1976, pp. 12-13), and Williams (1977, pp. 11-16) shows that the criteria fall into categories of administration and management, leadership, relations to constituencies, and personal qualities. Criteria related to administration and management are the most numerous and include items such as academic planning, program planning, decisionmaking and problem-solving, and use of funds, facilities, and human resources.

Leadership criteria are defined by standards of academic excellence, educational statesmanship, political astuteness, and administrative style. Criteria concerning relationships with constituencies overlap management and leadership standards; examples of relationship criteria are student affairs, sensitivity to faculty concerns, institutional representation to various publics, relationship with board, and (for

chief executive of a university system) relationship with other institutional presidents.

Personal qualities mentioned include, among others, health, energy, intelligence, integrity, and presence.

These lists of criteria often contain examples of statements that measure the performance of the criteria. (See e.g., Hayes 1976b, pp. 42-44 and Munitz 1976b, 27-28). What is stressed by those listing standards for presidential evaluation is that the criteria should be tailored to the nature of the institution and the specific objectives to which the president is expected to give priority (Hayes 1976b, p. 42; Munitz 1976a, p. 38; Williams 1977, p. 5). Munitz proposes an "assessment matrix" that stipulates "the concepts of institutional characteristics, presidential responsibilities and evaluative criteria to serve as a frame of reference for the evaluation" (1976a, p. 38).

Ideally the evaluation criteria should be made known to the president at the time of appointment, but this is usually not the case (Kaufman 1977, pp. 165-166).

Methods of Presidential Evaluation

Williams identifies the three models of evaluation as the internal evaluative feedback system, the *ad hoc* committee model, and the outside consultant model (1977, pp. 15-17). In the first of these, internal administrators comment on the performance of the president and take stock of his or her present and potential strengths. The internal feedback system need not be limited to comments by administrative staff: they may include a survey of other constituencies (faculty or students or alumni) to obtain their opinion about presidential performance, but when such diverse opinions are sought, an evaluation committee usually coordinates the process (Dickson et al. 1976).

In the *ad hoc* committee model, the committee develops an assessment portfolio that begins with presidential self-evaluation. Self-assessment is a standard part of presidential evaluation, since the process requires that the president state his or her understanding of the primary objectives and his or her progress toward these. The committee formulates statements of the groups represented on it and a consensual judgment about the president's performance. A variant procedure, which is appropriate primarily for large institutions, is the use of separate committees. These committees represent various constituencies and each committee's report summarizes the view of its constituency (Hall 1979). Although Anderson recommends that the committee members not poll their constituencies, the committee

method can be used in conjunction with a rating scale distributed to faculty and others (cf. Anderson 1976, p. 10 with Dickson et al. 1976).

The State University of New York (SUNY) system has been using *ad hoc* evaluation committees since 1973. This process was seen as generally satisfactory by presidents and committee members involved in the first round of evaluations, but changes have been suggested by presidents and especially by the University Faculty Senate. These changes concern issues such as the representative nature of a committee of only four persons, the extent to which a recommendation on reappointment should be the end result of the process, and the degree to which the committee's report should be made public (Block 1979).

In the consultant method, the consultant helps the committee, person, or group doing the evaluation as a fact finder and a buffer between them and the president. The consultant helps frame the evaluation process, but the process may take any number of forms and could ultimately use an evaluation committee or a survey of administrators, faculty, students, or alumni. The project on Presidential Evaluation supported by the Fund for the Improvement of Postsecondary Education resulted in a proposed evaluation model that uses a consultant selected by the governing board with the president's advice (Munitz 1976b, pp. 17-19). If the board wishes to conduct an evaluation in which faculty, students, administrators, and alumni are only involved as providers of data, then a consultant would be especially appropriate.

In addition to the three models described by Williams, a management by objectives approach can be used. This seems most appropriate where the president of an institution in a university or college system has an immediate supervisor, such as the chancellor with whom objectives can be set and a yearly appraisal meeting held (Los Angeles Community College District 1977). Multicampus systems raise ticklish evaluation problems because of the involvements of the campus presidents, administrators of the system, and the governing board. The system executive is usually delegated the evaluation task by the board, but often the campus president may have quarrels with the system executive publicly as a necessary step to maintain the support of the campus constituencies (Munitz 1978, p. 20).

When Evaluation Takes Place

The president should be in office at least three years before a full

evaluation is appropriate (Meyer 1975a, p. 8; McKenna 1972, p. 9; Munitz 1978b, p. 6). Naturally evaluation could take place earlier if serious questions arise about the president's performance. If the president has a term appointment, then the evaluation takes place at a time sufficiently prior to the end of the term that it can be used in the reappointment decision. In the SUNY procedure, the evaluation takes place only if the president indicates the desire to be reappointed at the end of the term (Block 1979, p. 149). This presents a problem for a president who does not want reappointment but who does not wish to announce this far in advance, which would be done by declining to be evaluated. There is not, however, universal agreement that the evaluation should have reappointment or retention as its focus. The Minnesota State University System third-year evaluation is specifically for improvement of performance rather than retention or nonretention (Meyer 1975b, p. 62). The four committees who separately evaluated the president of the Indiana University were told that their reports would not have the purpose of deciding whether the president would be retained (Hall 1979). Still, it is difficult to imagine that where there is a term appointment, the evaluation results will not be a prime factor in a reappointment decision. One of the recommendations of the SUNY University Faculty Senate to change the presidential evaluation system was to recognize openly this reappointment purpose (Block 1979, p. 152). Even where the president is not appointed for a term, a highly negative evaluation report would put pressure on the board to replace him or her. This pressure would grow if the report was made public.

The public disclosure of the evaluation results is subject to controversy. The SUNY evaluation system does not provide for disclosure of the committee's report to the campus constituencies; the University Faculty Senate has successfully sought to change the procedure to give this disclosure (Block 1979, pp. 152-153). Summaries of the reports of the four committees who evaluated Indiana University's president were published in the student and alumni newspapers and placed in the campus libraries, personnel offices, and university relations offices ("Board President Dismisses . . ." 1979).

Regardless of whether evaluation has improvement or retention as its goal, a benefit should be the education of the board concerning the obligations, constraints, and realities that face institutional leaders. The board's enlightenment should improve its working relationship with the president and improve the selection of a successor either as a result of the evaluation or in the future (Munitz 1978, pp. 13-14).

Evaluation of the Office of the President

Evaluations of the president often go beyond his or her individual performance to include an assessment of the university's management team (Hayes 1976b, p. 4). The College at Buffalo of SUNY included in its evaluation of the president assessments of the performance of the offices of "Academic Affairs, Student Affairs, and Finance and Management" (Dickson et al. 1976, p. 2). Munitz notes that placing an emphasis in the evaluation on the office of the president rather than the president shifts the emphasis from concern for personal style to concern for questions of the institution's objectives (Munitz 1976a, p. 38).

Development of College Presidents

After interviewing thirty-two recently appointed college and university presidents, Kauffman found that little was done in the way of orientation or transition programs to help new presidents succeed (1978, pp. 65-66). Once a president is in office a while, his or her professional options begin to narrow rather than broaden. What does a former president do? McKenna recommends that to avoid this narrowing the president should be encouraged to have a personal growth plan to increase options. "Examples are research, writing, public service, travel, and consulting" (1972, p. 461). One purpose of the growth plan is to prevent the president from becoming unimaginative and protective of his or her position as options close.

The SUNY system provides a two-month study leave with full salary after the third year of service and a one-semester study leave with full salary after five years of service (Block 1979, p. 144). Some type of administrative leave should be available to the president on a periodic basis.

At the end of the president's service, both the SUNY and Minnesota State University systems provide for transition to a faculty role. The SUNY system allows for a continuing faculty appointment with academic rank; the Minnesota system has special distinguished-service professorships for former presidents. These provide a salary of at least 80 percent of the president's final salary, which is charged against the system budget rather than the university's faculty or administrative budget. An office, travel budget, and research assistant are provided (Block 1979, p. 144; Hayes 1976a, pp. 8-9).

Summary, Conclusions, and Implications

The question of the proper process for a higher education institution to evaluate and develop its administrators should be preceded by another question. How shall the college or university be managed? The management-by-objectives approach has the advantage of integrating by its nature the evaluation procedures with the management system, but all evaluation plans should seek this integration. Questions about the goals of the institution, how these goals are set, the strategies that seem best to meet these goals, and the measurement of the achievement of the goals should be answered when the questions of evaluation and development procedures are considered. The fears about the problems facing higher education, with possibly declining enrollments and support, are reasonable fears, but the proper response to them is a broad review of management practices, not just a reconsideration of evaluation and development.

Therefore it will not do to read a series of articles and books on evaluation and totally adopt the system that sounds best. On the other hand, it is wasteful for higher education institutions to develop complete evaluation and development programs without reference to the experience of other colleges and universities. The writings on evaluation and development provide much material that can be adapted to meet the needs of almost any institution.

The reason an evaluation system at another school should not be adopted unchanged is that colleges and universities have differing objectives, purposes, and traditions. Schools do not differ in certain important respects. At a meeting of deans of colleges or deans of students the discussions among participants will show that they have many similar problems. The college catalogues of many institutions are almost interchangeable in their descriptions of goals, objectives, and campus atmosphere. Thus, a small liberal arts college could undoubtedly find much that could be adopted in the evaluation and development program of a similar college.

What is needed in any change of management procedures, of which administrative evaluation and development should be a part, is an institutional research program that gives top administrators a good idea of the campus environment and how various constituencies, including administrators, view the institution. Colleges differ in their traditions and objectives, and within a given institution not

everyone agrees about what are the important purposes and traditions.

It is possible that such a research program could indicate a high degree of satisfaction with the current ways of operating and a strong apprehension about change. A more formal administrative evaluation program should not be instituted only because this is the latest fad, which the institution should follow. If the institution's self-satisfaction is misguided or shortsighted, then the top administrators must find ways to bring campus constituencies to a more realistic view of the state of affairs. Evaluation and development programs will not bring new views; new views must be accomplished in other ways before a plan to change can be successfully carried out.

Implementation of evaluation and development systems is difficult in higher education because of the nature of the task and the type of people in the field. A more formal system will require administrators to spend more time on something whose effect on the institution's ultimate goals cannot be proven and whose effect on improving institutional management also will not be easy to demonstrate. This is because the goals of a college or university (e.g., more student learning, greater development of the whole student, better research) are difficult to measure and are remote from the daily task of administrators. Even the level of performance of institutional management is hard to evaluate. Furthermore, higher education administration has a highly educated work force that will resist change if it has not participated in the planning and implementation. Thus, involvement of the administrators who will be evaluated is a key point in almost all the advice on successful implementation of a development program. This involvement will make the process of putting in the new system slower, but it is crucial to success.

Another common feature of higher education is its contradictory view of the world of business and industry. Business is seen as different because of its supposedly clear objectives toward the goal of profits; yet, business is admired as more efficient and accountable. When models are sought for evaluation and development programs, business is the natural source of these. The result of all this is that higher education takes ideas from business but cannot too openly acknowledge this borrowing lest the ideas be rejected as coming from an inappropriate source. It is not certain that the differences, at least in dealing with personnel, are so great between business and higher education, but business practices that are imported still must be dressed in the language of higher education.

Furthermore, there is something unique that higher education can give to an evaluation and development program. Although business is not engaged in the blind pursuit of profit, corporations have an obligation to shareholders to protect their investments and provide a good return on them. Thus, business cannot ignore profits, and evaluation and development of employees is partly aimed toward improved profitability. Higher education institutions exist to develop and enhance students, which activity requires, in part, their evaluation; thus, the evaluation and development of administrators and other personnel should not be seen only as a means to the end of better management, but as a goal which is identical to a major goal of the institution. Colleges and universities have more reason to be leaders in the development of personnel than does business.

Why this leadership has not been forthcoming is difficult to determine. One reason may well be that higher education—like many fields that pay less than others but employ persons of comparable education—may offer comfort and security as countervailing compensations for low salary. It is foolish to contrast faculty tenure with the notion that administrators have no job security. Higher education administration is not a field where administrators are easily terminated or demoted. In an atmosphere marked by a high degree of job security, evaluation, if not development, is threatening. Evaluation programs can be seen as the first step toward an atmosphere of less job security. Although evaluation is said to be for improvement of future performance rather than judgment of past performance, the two goals are difficult to separate. Indeed, if an accurate assessment of performance is made for the purpose of future improvement, should another, less accurate assessment be made to reward past accomplishments?

Finally, changes that are made in the evaluation and development procedures should be undertaken with modest expectations. The far more experienced world of business has not found evaluation systems that are broadly satisfactory. The dilemma of an evaluation system complex enough to limit subjectivity while simple enough not to be excessively time-consuming has not been solved. Nor is an early solution likely. Thus, any change that is made should be subject to constant scrutiny and alteration. If it does work well now, it probably can be made to work better. If it seems ideal now, it will not be so in the future because it will be one of the factors changing the college and university to the point where a new management approach will be needed.

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